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NUCLEAR WASTE MANAGEMENT PROGRAM PROCEDURE

NP 17-1
RECORDS
Revision 3

Effective Date: 01/14/03

Author: Grace Sosa-Yates   *Original signed by Grace Sosa-Yates   1/14/03*
                    (printed name)   (signature)   date

1.0   Purpose and Scope

This procedure prescribes the processes for identifying, creating, protecting, correcting, submitting, and retrieving records from the Sandia National Laboratories (SNL) Waste Isolation Pilot Plant (WIPP) Records Center. It also specifies the responsibilities of individuals who generate records for submittal to the Records Center - referred to in this procedure as the Record Source.

This procedure applies to quality assurance (QA) records generated by SNL and contractor personnel in support of WIPP activities.

Acronyms and definitions for terms used in this procedure may be found in the NWMP Glossary located at the Sandia National Laboratories NWMP On-line Documents web site.

2.0   Implementation Actions

2.1   Identification and Creation of Records

Implementing procedures (NPs and SPs) shall identify those documents which shall become QA records. Individuals responsible for the creation of records shall ensure they are legible, accurate, completed appropriate to the work accomplished, and traceable to the item(s) or activity(s) to which they apply. QA records may be originals or copies.

Records shall be considered QA records when authenticated. Authentication is the act of attesting that the information contained within a record is accurate, complete, legible, and appropriate to the work accomplished. Authorized personnel may accomplish authentication by any of the following methods:

- Signature or initials and date
- Appropriate stamp and date
- Memo with signature or initials and date

Authentication should not be confused with any subsequent reviews of the content.

Note: All SNL WIPP QA records are classified "Lifetime."

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When a new activity is started, the Record Source should coordinate with the WIPP Records Center Staff to open a records package which will be comprised of records associated with that specific activity. This allows these records to be processed while the activity is on-going, and for them to be duplicated and maintained in dual storage.

The number of pages in a record must be indicated in some manner. The preferred method is to number each page as: "1 of 10, 2 of 10", etc. An acceptable alternative is to number the first page as "1 of 10" and then continue with straight numbering. Paginating a quality record after it has been validated is not considered a change requiring revalidation of the record. Pagination or page numbering can be set up as a footer for records created on a computer.

The Record Source shall provide the following indexing information with submitted records to ensure traceability and retrieval:

- Date the record was created
- Author(s) name
- Recipient(s) name
- Full title or subject (specific)
- Numbers of pages
- NWMP File Code (Project/WBS or Task #/Subject Matter/QA or NQ Designation) reference as listed in the SNL NWMP File Code on line. Forms are not required to carry a file code
- Accessibility, (e.g., proprietary, privileged)

The following additional information should also be provided:

- Unique identifier, (e.g., report number)
- Attachments or enclosures
- Cross references
- Reference to Records Package (if applicable)

Note: Forms shall have all blanks filled in, or have "N/A" entered in the blank, unless instructions clearly state that an area does not need to be filled in.

2.2   Temporary Protection of In-Process Documents

The Record Source shall protect in-process documents from damage or loss from the time of creation of the document until the document is submitted to the WIPP Records Center. Documents intended to be records should be kept in a secure area when not in use, (e.g., a desk drawer or file cabinet).

When a QA record is complete and authenticated it must be submitted to the WIPP Records Center.

2.3   Submitting Records/Record Packages

The Record Source or designee shall submit all records using Form NP 17-1-2, (Appendix B). Two paper hard copies of records should be submitted to the WIPP Records Center using the Records Submittal Form, Form NP 17-1-2 (Appendix B). An information copy of the submittal form will be returned to the Record Source after processing of the record(s) is complete.

Note: One copy of a cited reference must be submitted by the Record Source if not readily available and not already in the collection. Only one copy is necessary because cited references are treated as non-QA records. Readily available refers to documents that may be obtained from libraries or commercial establishments.

2.3.1   Non-paper Media Records

Note: Machine readable media is not required. However, the Records Center will accept one or two copies. These will be treated as non-quality affecting (NQ) records.

Machine readable media submitted to the WIPP Records Center shall have a detailed external label affixed, as shown in the sample on page 3 of Form NP 17-1-1, (Appendix A). Completed pages 1 and 2 of Form NP 17-1-1 must also accompany media records. Signature by the Record Source on this form serves as verification that the contents of the record on the media is complete and appropriate for the work performed.

The Record Source shall protect media records from magnetic fields, heat, moisture, light, or anything that would cause deterioration to the media and the information it contains.

Note: The Records Center does not have the capability to access or to reproduce media.

2.3.2   E-Mail Records

E-mails may be submitted to the Records Center as a QA record. They shall be submitted in paper hardcopy form, shall be authenticated and should include envelope/header information.

2.3.3   Special Processed Records

Records which cannot be duplicated, (e.g., unique one-of-a-kind records), shall be identified as such when they are submitted to the WIPP Records Center.

2.4   Supplementing, Changing, or Correcting Records

Corrections to records shall include the initials or signature of the authorized person making the correction and the date the correction was made. Corrections to QA records should be made with a single line-through and shall not obliterate the prior entry. QA records shall not be corrected through the use of correction fluids or tapes. Corrections to QA records shall be authorized by the originating organization. Additionally, records should not contain highlighter markings, since this information may be lost when the record is photocopied or imaged.

Records that are incomplete or illegible may be corrected by transcribing, regenerating, or enhancing the illegible portion of the record, or by obtaining a new, complete, legible record. A memo of record shall be used to document the impact of the incomplete or illegible information.

If it is necessary to supplement, change, or correct records that have been accepted by the WIPP Records Center, a memorandum of correction should be submitted to the Records Center along with the page(s) containing the supplements, changes, or corrections.

If an entire record needs to be changed, or numerous corrections must be made, a new record should be submitted to supersede the old record.

2.5   Retrieval of Records

Upon request, the WIPP Records Center Staff will retrieve records using the indexing information prescribed in Section 2.1.

3.0   Records

The following records, generated through implementation of this procedure, shall be prepared and submitted to the WIPP Records Center in accordance with NP 17-1 (Records):

QA Record	Preparer	Records Submitter
• Records Submittal (Form NP 17-1-2)	Record Source	Record Source

Non Quality (NQ) Record	Preparer	Records Submitter
• Machine Readable Media (Form NP 17-1-1)	Record Source	Record Source

4.0   Appendices

Appendix A: Form NP 17-1-1, Machine Readable Media
Appendix B: Form NP 17-1-2, Records Submittal
Appendix C: Process Flow Chart – Records Submittal

Appendix A

<table>
<tr>
<td rowspan="2">NUCLEAR WASTE MANAGEMENT PROGRAM
Sandia National Laboratories</td>
<td rowspan="2">Machine Readable Media
External Label Example and Indexing Needs</td>
<td>Form Number:
NP 17-1-1</td>
</tr>
<tr>
<td>Page 1 of 3</td>
</tr>
</table>

Activity/Title: _____

Records Center Identifier No. _____   Organization: _____
(to be issued by the Record Center)

Author _____
　　　　　　Print　　　　　　　　　　　　　　Signature

Date(s) Generated: _____   WBS (Task)#: _____

I. COMPUTER-GENERATED RECORDS

1. FORMAT TYPE AND SPECIFICATIONS

A. Tape

☐　0.5-in nine track tape reel

☐　0.25-in tape cassette

☐　4-mm tape cassette

☐　8-mm tape cassette

☐　Bernoulli

☐　DLT

☐　Other: _____

B. Floppy/Disk

☐　3.5-in　　　　　　　　☐　Removable Disk

☐　5.25-in　　　　　　　☐　Zip

☐　8-in　　　　　　　　　☐　Jazz

☐　Other: _____　☐　DVD

　　　　　　　　　　　　☐　CD ROM

2. HARDWARE/SOFTWARE INFORMATION

A. Hardware and Operating System Used to Execute the Software

Include details regarding version, display, print, graphics, etc.
(e.g.: SUN IPX Solaris 2.1; Gateway 486 DX2 66 Windows 5.1, DOS 6.2)

B. Application Software and/or Compiler Used to Create Software

(e.g.: Excel, Microsoft C v6.0)

<table>
<tr><td colspan="2">

Machine Readable Media
External Label Example and Indexing Needs
</td><td>

**Form Number:
NP 17-1-1
Page 2 of 3**
</td></tr>
</table>

I. COMPUTER-GENERATED RECORDS
(continued)

C. Description of Subject Matter of Executable Software

Description may include: file layout; field names; field parameters; form of data-numeric, alphabetic, packed, decimal, float, real, integer, etc.; instructions to identify and interpret codes in file data.

3. ADDITIONAL INFORMATION

A. Special Requirements to Playback, Import/Export, Recompile, or Preserve Record

B. Main Frame Computer Record Length and Block Size

II. AUDIO/VIDEO RECORDS

1. FORMAT TYPE AND SPECIFICATIONS

A. Audio

☐ 3.75-in/sec on 0.25-in open reel
☐ 3.75-in/sec on 0.25-in cassette
☐ 7.5-in/sec on 0.25-in open reel
☐ 7.5-in/sec on 0.25-in cassette
☐ CD ROM
☐ DVD
☐ Other: _____

B. Video -Size:

☐ 0.75 in
☐ 1-in
☐ Other: _____

Type:

☐ Mil tape
☐ S-VHS tape
☐ BETACAM tape
☐ DVD
☐ CDROM
☐ Other: _____

2. DESCRIPTION OF SUBJECT MATTER

Description may include: major topics; test plans; activity; track number(s) reflecting starting times of major topics.

Machine Readable Media External Label Example and Indexing Needs	**Form Number:** **NP 17-1-1** **Page 3 of 3**

(To Be Adhered Directly to the Reel/Cassette/Tape/Floppy/Disk)

SAMPLE

Records Center Identifier No.: _____

Nuclear Waste Project: _____

Test/Activity: _____

Author/Organization: _____

Date(s): _____   **WBS#** _____

Summary of Machine Readable Record:

I. RECORDS CENTER IDENTIFIER NO.

To be issued to client by the Records Center <u>prior</u> to record generation and labeling

II. NUCLEAR WASTE MANAGEMENT PROJECT

Identify the appropriate Nuclear Waste : YMP, WIPP, GCD, SEDSS, BUC, or Other

III. TEST PLAN OR ACTIVITY

Identify the Test Plan or Activity that this material supports

IV. AUTHOR/ORGANIZATION

State the Test Principal Investigator and the Organization which generated the record
(First Name initial, middle initial, full last name) (Organization number)

V. DATE(S)

Indicate the date(s) the record was generated <u>not</u> the date the media was labeled

VI. SUMMARY OF CONTENTS

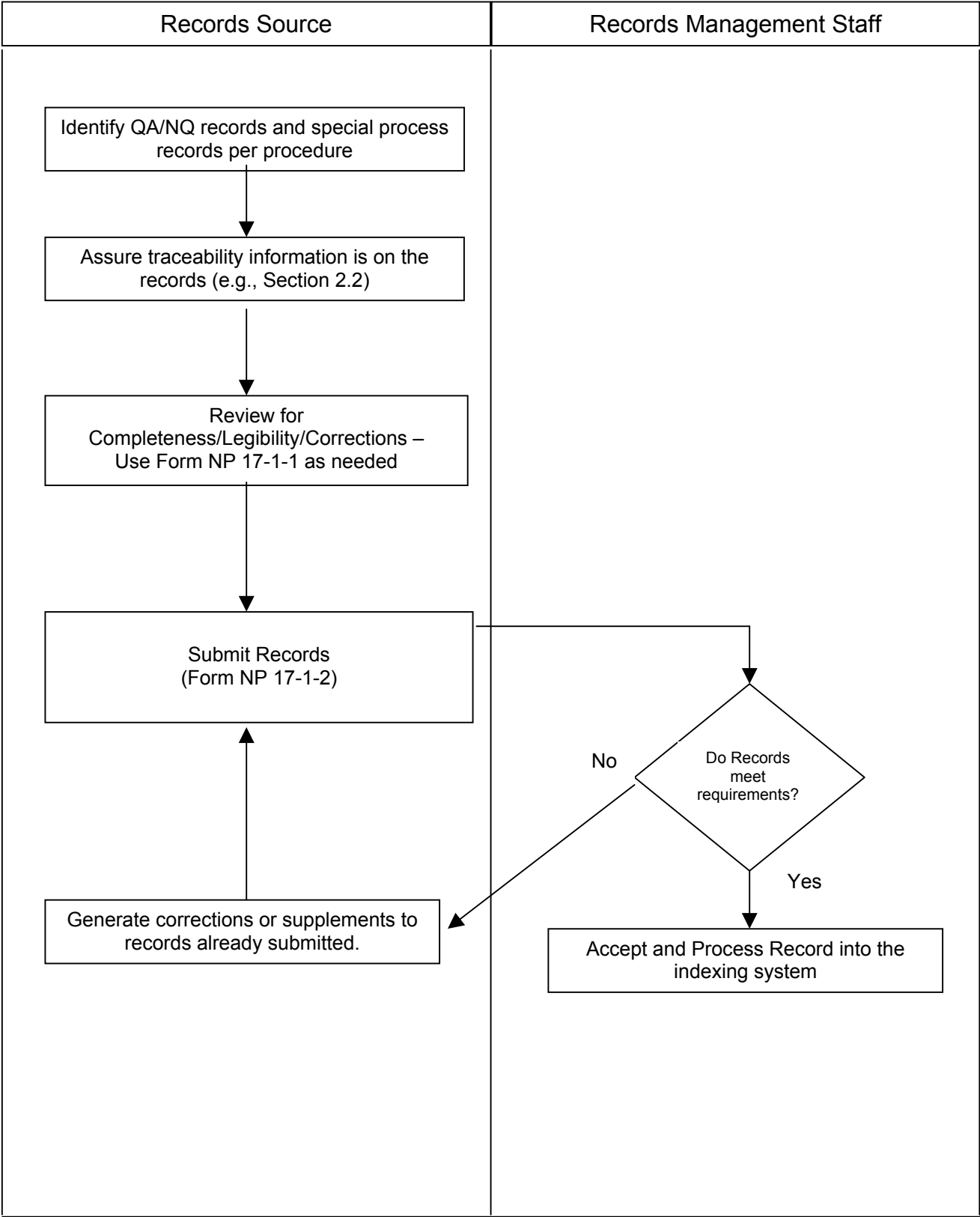Include any information valuable to the identification of the record

EXAMPLES: 1. **Computer-Generated Record,** e.g.: INTERA's WIPP PERM data-acquisition software program disks include: a directory listing stating the file name (first five characters define test series, remaining three characters define test sequence),   file size, and date

2. **Video or Audio Record,** e.g.: Track number(s) with brief description of content

Appendix B

NUCLEAR WASTE MANAGEMENT PROGRAM Sandia National Laboratories	Records Submittal ☐ WIPP ☐ Other _____	Form Number: NP 17-1-2

Date _____   Submitter _____   Page ____ of ____
                            Printed Name   Signature

	To be completed by submitter				To be completed by Records Center Staff		
Record Source (Person who generated the record)	Record or Package Title (Include cross reference information or related topic) Enter "LAST ITEM" below final entry		Page Count	Record Date	Package ERMS #	Record ERMS #	Reject Date

To be completed by Records Center Staff

Records Center Received	Inspected	Queried	Input into Database	Printed Profile	Verified Profile	Corrections Made	Transmittal Number	Information Copy given to Record Source

Appendix C
Process Flow Chart – Records Submittal

Records Source	Records Management Staff

Records Source:

Identify QA/NQ records and special process records per procedure

↓

Assure traceability information is on the records (e.g., Section 2.2)

↓

Review for Completeness/Legibility/Corrections – Use Form NP 17-1-1 as needed

↓

Submit Records
(Form NP 17-1-2)

Generate corrections or supplements to records already submitted.

Records Management Staff:

Do Records meet requirements?

No → Generate corrections or supplements

Yes ↓

Accept and Process Record into the indexing system